

SECTION B IDENTITY DECLARATION 身份聲明	
Is the Applicant 申請人是否：	
(1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.) 任何其股份在交易所或市場買賣的（上市）公司之高級人員或董事？（如是，請說明公司名稱及股份編號。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
(2) a person licensed by or registered with the Hong Kong Securities and Futures Commission <sup>**</sup> or an employee of such person? (If yes, please specify his/her CE No.) 香港證券及期貨事務監察委員會持牌或註冊人士 <sup>**</sup> 或該人士之僱員？（如是，請說明他／她的中央編號。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
(3) a relative of the Investment Consultant responsible for the Applicant's Account(s) to be opened with SHK Group? (If yes, please state the relationship.) 此帳戶之負責客戶經理之親屬？（如是，請陳述與之關係。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
(4) a U.S. citizen, a green card holder or residing in the U.S.? 美國公民、綠卡持有人或居住於美國？	<input type="checkbox"/> Yes 是 <input checked="" type="checkbox"/> No 否
(5) born in the U.S.? 出生於美國？	<input type="checkbox"/> Yes 是 <input checked="" type="checkbox"/> No 否
Is/Are (i) the Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the Applicant; and/or (iv) close associate(s) <sup>**</sup> of the Applicant: (i) 閣下；及／或 (ii) 閣下之配偶、伴侶、子女及／或父母；及／或 (iii) 閣下子女的配偶或伴侶；及／或 (iv) 與閣下關係密切的人 <sup>**</sup> 是否：	
(6) entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises or religious leaders)? (If yes, please specify.) 被委任為重要公職（例如：國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國有企業高級行政人員或宗教領袖）？（如是，請說明。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
<p><sup>**</sup> a person is a "close associate" of an individual if the person is:</p> <p>如某人符合以下說明，該人即屬與某名個人（指這個人）關係密切的人：</p> <p>(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or 該人是與首述個人有密切業務關係的個人（在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人）；或</p> <p>(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual. 該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。</p>	
SECTION C FOR COMPLETION BY APPLICANT APPLYING FOR MARGIN SECURITIES TRADING ACCOUNT 由孖展證券交易帳戶申請人填寫	
(1) Is your spouse a margin client of any company of SHK Group? (If yes, please provide details.) 申請人的配偶是否新鴻基集團之任何公司的孖展客戶？（如是，請提供詳情。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
(2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of SHK Group? (If yes, please provide details.) 申請人是否單獨或與配偶共同控制新鴻基集團之任何公司的一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
(3) Is the Applicant, or was the Applicant at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder <sup>**</sup> of any company of SHK Group ("Connected Person") <sup>***</sup> ? (If yes, please provide such details as requested by the SHK Company.) 申請人是否現在或於過去十二個月內任何時間，直接或間接（例如：透過一法人團體），不論是否聯同其他人士及／或實體，與新鴻基集團之任何公司的任何董事（包括過去十二個月內之前董事）、行政總裁或主要股東 <sup>**</sup> 有所關連（「有關連人士」） <sup>***</sup> ？（如是，請提供新鴻基公司所要求的詳情。）	<input type="checkbox"/> Yes 是 ( ) <input checked="" type="checkbox"/> No 否
<p><sup>**</sup> "Substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 「主要股東」指，就一間公司而言，任何人士其於該公司之任何股東大會可行使，或可控制行使，10%或以上之投票權。</p> <p><sup>***</sup> Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons (including any associated trustee). 有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女（不論是否合法、親生或領養）、繼子女（不論是否合法、親生或領養）、父母、配偶的父母、子女的配偶、祖父、外祖父、孫及外孫、父母於兄弟姊妹及其配偶、堂兄弟姊妹、表兄弟姊妹、兄弟姊妹的配偶、配偶的兄弟姊妹，以及兄弟姊妹的子女、任何前述人士的或為任何前述人士利益而成立的及任何前述人士（包括任何前述人士）的合夥人。</p>	

**SECTION B GENERAL INFORMATION 一般資料**

(1) Capacity of the Applicant 申請人之身份

Is the Applicant 申請人是否

a. the ultimate beneficiary of the Account and transactions ("ultimate beneficiary")  
(Normally SHK Group would not accept an Applicant who is not the ultimate beneficiary.)  
帳戶及交易的最終實益持有人(「最終實益持有人」)?  
(新鴻基集團一般情況下不會接受非最終實益持有人之申請人。)

b. ultimately responsible for originating instructions (trading and/or others) for the Account?  
(Please complete SHK Group's "Declaration of person(s) ultimately responsible for originating the instruction in relation to a transaction".)  
為此帳戶之最終負責作出指示(交易及/或其他指示)的人士?  
(請填寫新鴻基集團的「最終負責作出交易指示的人士/實體之聲明」。)

c. the only person with authority to operate the Account?  
(Please complete "Third Party Authorization - Individual or Joint Account".)  
唯一有權操作此帳戶者?  
(請填寫「第三者授權表格 - 個人或聯名帳戶」。)

(2) Details of the Applicant's bank account for payment of money (if any) by the SHK Company to the Applicant (under the name of the Applicant).  
可供新鴻基公司用作支付任何款項(若有的話)予申請人之銀行帳戶詳細資料(需以申請人名義持有)。  
Further, the Applicant hereby agrees that if this Account Application is approved by the relevant SHK Company, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.  
再者,申請人現同意,若本開戶申請表獲相關新鴻基公司所核准,以下銀行帳戶將被用作接受按文件給予申請人的款項(若有的話)。

Designated bank: TAI FUNG BANK Bank account no.: 228-2  
指定銀行 銀行帳戶號碼

Name of bank account holder: LAI SOU CHENG  
銀行帳戶持有人姓名

Applicant's signature  
申請人簽署  
: Lai Sou Cheng

**SECTION E FACILITIES APPLICATION 額度申請**

For Cash Securities Trading Account 現金證券交易帳戶	Proposed Settlement Limit 建議結算限額	HK\$ <u>100,000</u> 港元
For Margin Securities Trading Account 孖展證券交易帳戶	Proposed Credit Limit 建議貸款限額	HK\$ _____ 港元
	Overdraft Interest Rate 透支利率: _____ % plus prime lending rate 加優惠利率	
	Security % Limit 抵押比率: _____ % (Acceptance/Market 可接受貨值/市價)	
For Stock Options Trading Account 股票期權交易帳戶	Proposed Position Limit 建議持仓限額	HK\$ _____ 港元
	Other Terms 其他條款: _____	
For OTC Swap Account 場外掉期帳戶	Proposed Position Limit 建議持仓限額	HK\$ _____ 港元
	Other Terms 其他條款: _____	
For Commodities Trading Account 期貨交易帳戶	Proposed Position Limit 建議持仓限額	HK\$ _____ 港元
	Other Terms 其他條款: _____	
For Bullion Trading Account 黃金交易帳戶	Proposed Position Limit 建議持仓限額	US\$ _____ 美元
	Other Terms 其他條款: _____	
For Leveraged Foreign Exchange Trading Account 槓桿式外匯交易帳戶	Proposed Position Limit 建議持仓限額	US\$ _____ 美元
	Other Terms 其他條款: _____	
For Global Payment Account - Spot FX 匯款易帳戶 - 現貨外匯	Proposed Position Limit 建議持仓限額	US\$ _____ 美元
For Global Payment Account - Forward FX 匯款易帳戶 - 遠期外匯	Proposed Position Limit 建議持仓限額	US\$ _____ 美元

# SHK Account Application (Individual) July 2013 Edition

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them. 本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等約束。

I declare that I am not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "Ordinance"). Otherwise, I understand that I am required to provide to SHK Group written consent from my employer before I can open and operate an account with SHK Group. I undertake to promptly notify SHK Group if I become or cease to be employed by any licensed or registered person to carry out regulated activities. 本人聲明本人現時並非受僱於任何持牌人或註冊人以從事《證券及期貨條例》(香港法例第571章) (「條例」) 界定的受規管活動。否則，本人明白本人須向新鴻基集團提供本人僱主的書面同意方可於新鴻基集團開立並使用帳戶。本人承諾如本人將受僱或不再受僱於任何持牌人或註冊人以從事受規管活動時，將立即通知新鴻基。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance. 注意：持牌人指根據證券條例註冊的持牌法團。註冊人指根據條例註冊的註冊機構。

Further, I confirm that the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I have read, understood and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish. 再者，本人確認載於或附隨客戶協議及附件之風險披露聲明及美股易風險披露聲明、風險披露資料(若適用)及資料(若適用)已按本人選擇之語言(英文或中文)提供予本人，及本人已閱讀、明白和接受其/其等(若適用)性質和內容。本人明白它們不足而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見(若本人有此意願)。

In case I execute this Account Application not before a SHK Group staff/SHK Group licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) SHK Group will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me. 若本人並非在一名新鴻基集團員工/新鴻基集團持牌代表面前簽署此開戶申請表，或本人在適用法律及/或監管規定允許的情況下根據非親身開戶程序簽署此開戶申請表，本人確認本人知悉(i)在本人獲准在根據此開戶申請表開立的帳戶內進行交易前，新鴻基集團將會電話聯絡本人(「跟進電話」)以解釋風險披露聲明及風險披露資料(若適用)；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請表並取回此開戶申請表及相關證明文件。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only 只適用於現金證券交易帳戶及孖展證券交易帳戶 I also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to me and I have understood the contents thereof. 本人確認已獲載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具(例如：衍生權證、牛熊證)的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且本人已明白其內容。

For Online Securities Trading Accounts (US Trader) Only 只適用於網上美國證券交易帳戶(美股易) (I) In addition, I have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of SHKIS) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) I have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to SHKIS in, and agree to, the terms contained therein. (III) I consent that SHKIS may, at my own risk, send my Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to my email address(es) specified in Section A of this Account Application and I understand and accept all the risks associated with the sending of my Access Codes for US Trader to my aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted). (I)再者，本人已收到以下所列資料服務供應商(定義見新鴻基投資的客戶協議附件六補充文件的條款6)的協議(「資料服務供應商協議」)並已閱讀及完全明白當中載列的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(II)本人已收到美股易反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中載列的條款以及謹此就該等條款向新鴻基作出承諾、聲明、陳述及保證，並同意該等條款。(III)本人同意：在風險由本人獨自承擔下，新鴻基投資可將本人的美股易接達密碼(定義詳於新鴻基投資的客戶協議)送往於本開戶申請表A項所指明的本人電郵地址(一個或多個)處及本人明白及接受所有與將本人的美股易接達密碼送往本人前述的電郵地址處相關之風險(一個或多個)處相關之風險(包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性)。

## The ISP Agreements:

### 資料服務供應商協議：

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement: 協議及披露/股票非專業市場數據協議：
  - (a) NYSE and Amex Terms and General Applicability of Market Data 紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
  - (b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement: 期權報價管理局交易協議 – 非專業用戶申請及協議 (Last Sale and Quotation Information for Personal Non-business Use Only) (僅供個人非商業用途的最新沽價及報價資料)
2. Dow Jones Indices Terms and Conditions 道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement 協議及披露/網上納斯達克用戶協議

## For OTC Swap Account(s) Only

### 只適用於場外掉期帳戶

I acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Individuals) and the OTC Swap Account Annex together with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. I confirm that I have read and fully understand the contents of the OTC Swap T&Cs (Individuals), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them. 本人確認並同意於場外掉期帳戶下開展之所有交易，將受「場外掉期條款及細則(個人)」及「場外掉期帳戶附件」以及確認書所載之關乎各項個別交易或其他確認證據之特定條款及細則約束。本人確認已閱讀並完全明白場外掉期條款及細則(個人)之內容，包括但不限於場外掉期條款及細則(個人)的附件2(風險披露)中列明的場外交易衍生產品相關之風險，並同意受其等約束。

**Use of Personal Data for Direct Marketing**  
**直接推廣中個人資料的使用**

I understand that SHK Group intends to use or transfer my personal data (e.g. name, contact details and age group, etc.) for sending promotional or other materials and direct marketing of financial services, products or goods to members of the SHK Group or entities outside of the SHK Group which are their business partners in financial and related services, for which SHK Group may receive gain. SHK Group cannot do so without my consent. Should I disagree to such use or transfer of my personal data, I would indicate my objection by ticking the box(es) below, and I can change my instructions at any time by providing written notice to SHK Company. If SHK Group receives any conflicting instructions from me regarding the use or transfer of my personal data, the instructions given at the latest date shall prevail.

我明白新鴻基欲使用或轉移本人的個人資料（例如姓名、聯絡資料和年齡組別等）至本集團的成員公司或集團以外提供金融或其他相關服務的公司以作傳送推廣或其他資料及直接促銷金融服務、產品或貨品，而新鴻基可能就此獲取得益，惟新鴻基在未經本人同意時不可使用本人的個人資料。若本人不同意本人的個人資料之使用或轉移，本人將於以下方格中打「✓」以示反對。本人可以隨時透過書面方式，向新鴻基更改指示。倘新鴻基就本人的個人資料的使用收到本人不一致的指示，則以最後日期提供的指示為準。

- ☒ I object to the use or transfer of my personal data by or to members of the SHK Group for direct marketing  
 本人反對本人的個人資料被新鴻基集團之成員公司用作直接促銷或與之有關的集團內部轉移
- ☒ I object to the use or transfer of my personal data by or to entities outside of the SHK Group for direct marketing  
 本人反對本人的個人資料被新鴻基集團以外的公司用作直接促銷或與之有關的轉移

Financial services, products or goods include but are not limited to those relating to any type of investment, insurance, foreign exchange, lending or other related areas.  
 金融服務、產品或貨品包括但不限於任何投資、保險、外匯及借貸或其他相關範圍。

For definitions and details of the SHK Group's personal data policy, please refer to the Personal Data Schedule of the attached Client Agreement(s) or subsequent amendments (if any).

有關新鴻基個人資料政策的定義及詳情，請參閱附隨的客戶協議之個人資料附件或其後修訂（如有）。

Executed as a deed on 簽訂作契約於： 1/4/2014  
 (Insert date) (填上日期)

Signed, sealed and delivered by 簽署、蓋印及交付：

Applicant's Signature\*  
 申請人簽署\*：

Witness Signature\*  
 見證人簽署\*：

SHK Group staff name and No./SHK Group licensed representative name and CE No.:  
 新鴻基集團職員姓名及編號/新鴻基集團持牌代表姓名及中央編號：

Lai Sou Cheng

(L.S.)

CMak

MAK HOI NUNG A9564 AVA 406

- \* The signatures shall be recorded as specimen signature for the purpose of the Account and all matters relating to it. 為帳戶及所有其他相關事宜，簽署將被記錄為簽署樣式。  
 \* If the witness is not an SHK Group staff/SHK Group licensed representative, please sign in the Certification below. 如見證人並非新鴻基集團職員/新鴻基集團持牌代表，請簽署以下保證。

**CERTIFICATION** (to be completed when Account Application not signed before a staff member/licensed representative of SHK Group)  
 核證 (如開戶申請表並非在新鴻基集團的職員/持牌代表面前簽署，請填此欄)

I am a Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practising)/notary public/SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section F, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me and the common seal of the Applicant was affixed to this Account Application in my presence.

本人乃「太平紳士/持牌銀行分行經理/律師/執業會計師/公證人/隸屬以下所指名之中介團體之持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）於本人面前簽訂。

\* Please delete as appropriate. 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)  
 證明人姓名 (正楷)

Title (please print)  
 銜頭 (正楷)

CE No. of the certifier (if applicable)  
 證明人之中央編號 (如適用)

Name and CE No. of the intermediary to which the certifier is accredited (if applicable)  
 證明人所隸屬之中介團體名稱及中央編號 (如適用)



**Declaration by a licensed person accredited to the SHK Company****隸屬於新鴻基公司持牌人士聲明**

I confirm that I have provided the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and (if applicable) such Risk Disclosure Information, ask questions and take independent advice if he/she wishes.

本人確認已按申請人所選擇語言（英文或中文）提供載於客戶的風險披露聲明、風險披露資料（若適用）及美股交易風險披露聲明及資料（若適用），並已邀請申請人閱讀該／該等（如適用）風險披露聲明、提出問題及徵求獨立的意見如其有此意願。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of SHK Group to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或新鴻基集團的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

**For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only**

只適用於現金證券交易帳戶及孖展證券交易帳戶

I confirm that I have explained to the Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向申請人講解載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證、牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」。

**For Online Securities Trading Accounts (US Trader) Only**

只適用於網上美國證券交易帳戶（美股易）

(i) I confirm that I have provided the ISP Agreements (defined above) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (ii) I have provided and invited the Applicant to read the US Trader Anti-Money Laundering Undertakings, Representations and Warranties. (iii) I have explained to the Applicant that SHKIS may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to the Applicant's email address(es) specified in Section A of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes for US Trader to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(i) 本人確認本人已向申請人提供資料服務供應商協議（定義如上）並已邀申請人閱讀適用之資料服務供應商協議中的條款。(ii) 本人已提供並邀申請人閱讀美股易反洗黑錢承諾、聲明及保證。(iii) 本人已向申請人說明：在風險由申請人獨自承擔下，新鴻基投資可將申請人的美股易接達密碼（定義見新鴻基投資的客戶協議）送往於本開戶申請表A項所指定的申請人的電郵地址處及本人已說明將申請人的美股易接達密碼送往申請人前述的電郵地址處相關之風險（包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險）。

**For Stock Options Trading Account(s) Only**

只適用於股票期權交易帳戶

I confirm that I have discussed matters relating to options with the Applicants and based on the information provided, I believe that the Applicant has sufficient income and liquid assets to meet his/her obligations in respect of the options activity proposed and that such activity is reasonably suitable for the Applicant.

本人確認本人已與申請人商討有關期權買賣之事宜，根據所提供之資料，本人相信各申請人有足夠收入及流動資產應付建議之期權買賣活動的有關責任，申請人亦適合進行此項買賣活動。

**For OTC Swap Account(s) Only**

只適用於場外掉期帳戶

I confirm that I have explained to each Applicant the risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) of the OTC Swap T&Cs (Individuals).

本人確認本人已向各申請人解釋場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相關之風險。

MAK  
Signature of licensed person 持牌人簽署

1/4/2014  
Date 日期

MAK HOI NING  
Name of licensed person (please print)  
持牌人姓名（正楷）

AA 406  
CE No. (please print)  
中央編號（正楷）

Documentation checked by 文件查對人：

**SECTION G 一般條款(續)**

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorised orally/in writing by the Applicant or, if applicable, any person(s) duly authorised by the Applicant pursuant to this Account Application, the Client Agreement and/or the OTC Swap T&Cs (Individuals).

帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須得申請人或根據本開戶申請表、客戶協議及／或場外掉期條款及細則（個人）訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。

- (2) Save for Clause (13) of this Section G, this Account Application is subject to the Client Agreement as amended from time to time. Unless otherwise indicated in writing by the relevant SHK Company, the Documents shall together constitute the entire agreement and understanding between the Applicant and the relevant SHK Company in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause (13) of this Section G, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and the relevant SHK Company and this Account Application, the Client Agreement and other any document entered into between the Applicant and the relevant SHK Company shall prevail to the extent of such conflict or inconsistency.

除本G項第(13)條外，本開戶申請表乃受客戶協議及附件（及其不時之修訂本）所規限。除非相關新鴻基公司另有書面表示，否則文件將一起構成申請人與相關新鴻基公司之間就文件所預期之事宜的全部協議及附件及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有指示指定）。除本G項第(13)條外，倘若客戶協議及附件及申請人與相關新鴻基公司間之任何其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及附件及申請人與相關新鴻基公司間之任何其他文件為準，但只限於該矛盾或不相同之處。

- (3) The SHK Company will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorisation (as specified by the SHK Company from time to time) to SHK Company signed by the Applicant will be required for this purpose.

新鴻基公司不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需另行向新鴻基公司簽訂由新鴻基公司不時指定之有關授權。

- (4) The Applicant hereby declares and represents that the information provided on, with, and / or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorise the disclosure of such information to the SHK Company and the use of such information by the SHK Company for any purposes contemplated under or related to this Account Application has been taken. The Applicant hereby undertakes to provide such further information as subsequently and reasonably requested by the SHK Company from time to time or otherwise required under the Client Agreement. The Applicant hereby further undertakes to notify the SHK Company promptly of any change to any aforesaid information. The SHK Company is entitled to rely fully on all aforesaid information for all purposes until the SHK Company is notified to the contrary in writing and any such written notification shall be duly signed by the Applicant. The Applicant understands and accepts that unless otherwise agreed by the SHK Company in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by the SHK Company of the relevant written notification.

申請人聲明及申述開戶申請表上提供、隨附及／或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權向新鴻基公司披露該等資料及新鴻基公司可為本開戶申請表所預期或關於其目的而使用該等資料。申請人並承諾此後根據客戶協議書及附件或新鴻基之合理要求，不時向新鴻基公司提供其他資料。申請人現再承諾即時通知新鴻基公司任何前述資料之任何變更，除非新鴻基公司接獲申請人以書面通知的任何變更，否則新鴻基公司有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。申請人明白及接受：除非新鴻基公司另有書面同意，否則任何前述資料的任何變更，只會於新鴻基公司確實收到有關書面通知當日起計五日後才會生效。

- (5) The Applicant hereby irrevocably and by way of security appoints the SHK Company as his/her lawful attorney to execute all documents and do all things which the SHK Company in good faith considers necessary and which the Applicant ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant.

申請人現不可撤銷地並以保證形式委任新鴻基公司擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃新鴻基公司真誠地認為申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) The Applicant should familiarise himself / herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of the Account in the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions. The Applicant hereby warrants and represents and undertakes to ensure (and it is his / her sole responsibility to ensure) that under the laws of the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions, he / she is lawfully entitled or permitted to open and maintain the Account with the SHK Company subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to the SHK Company are deemed to be repeated on each day up to and including the termination of the Client Agreement of the relevant SHK Company. Termination of the Client Agreement of the relevant SHK Company shall not affect any action by the relevant SHK Company or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicant under such Client Agreement. The Applicant undertakes to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicant to deal with any matter related to this Clause (6) and the SHK Company is under no obligation to take any action in relation to any such matter. Should the Applicant require any reasonable assistance from the SHK Company regarding any such matter, the SHK Company may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of the SHK Company for or in connection with rendering such assistance) shall be solely borne by the Applicant who undertakes to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding the SHK Company may have rendered any assistance to the Applicant before (whether regarding the same matter or not), the SHK Company may, at any time, without liability to the Applicant or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicant.

申請人應熟悉在其居籍／居留地及（若適用），所有其他相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。申請人現保證、聲明及承諾確保（及此乃其獨自的責任去確保）根據其居籍／居留地及（若適用）所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受客戶協議條款約束下於新鴻基公司開立並維持帳戶及訂立；及進行及持有客戶協議所擬之交易及資產；以及遵守客戶協議的條款。再者，該等向新鴻基公司發出的保證、聲明及承諾將被視為每日作出，直至及包括相關新鴻基公司的客戶協議終止為止。相關新鴻基公司的客戶協議之終止，將不會影響在終止日前相關新鴻基公司或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不會影響申請人在該客戶協議下給予之任何彌償或保證。申請人承諾支付直接或間接因或關於開立及／或維持帳戶及／或進行前述的交易及／或持有前述的資產及／或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃申請人獨自的責任處理關於本第(6)條的任何事宜，新鴻基公司並沒有責任就任何該等事宜採取任何行動。若申請人就任何該等事宜需要新鴻基公司的任何合理協助，新鴻基公司可能以

其絕對耐情提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括新鴻基公司為或關於提供該協助的任何服務費）將由申請人獨自承擔而其亦承諾支付。儘管本第(6)條有任何規定及儘管新鴻基公司可能以前已向申請人提供任何協助（不論是否關於同一事宜），新鴻基公司可隨時拒絕向申請人提供任何協助或進一步的協助（視情況而定）但無須向申請人或任何第三方承責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, he/she is acting as principal in relation to the Account. 申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。
- (8) The Applicant confirms that he/she has read, is aware of and understands the terms set out in the Form of Options Information Statement, Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and HK Exchange Disclaimer in the Client Agreement. (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.) 申請人確認已閱讀，知悉並完全明白客戶協議內之期貨資料說明表、有關買賣股票指數期貨的免費聲明、有關買賣股票指數期權的免費聲明及香港交易所免費聲明（本第(8)條適用於申請人任何（一旦獲核准開立）便由包含前述文件之相關客戶協議所組成的帳戶）。

- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with SHKIS', SHKOS', SHKB's, SHKCOM's and SHKFX's Client Agreement respectively and such other applicable terms as may be designated from time to time by SHKIS, SHKOS, SHKB, SHKCOM and/or SHKFX. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more of the aforesaid online trading services ("Chosen Electronic Services"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by the SHK Company from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("Applicable Documents" for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("Risks") have been explained to him/her. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application).

本開戶申請表第1頁所指明的網上交易服務將各自按新鴻基投資、新鴻基科網、新鴻基金業、新鴻基期貨及新鴻基外匯的客戶協議及附件以及新鴻基投資、新鴻基科網、新鴻基金業、新鴻基期貨及／新鴻基外匯可能不時指定之其他適用條款使用。該等申請人於本開戶申請表第1頁適當方格中加上「✓」號作為顯示其所選擇上述之任何一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用文件及條款（「適用文件」）僅作本第(9)條之用途，並於新鴻基公司不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已理解關於適用文件內所列載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「風險」）。申請人確認其已明白和接受風險。申請人同意根據適用文件使用已選擇電子服務。（本第(9)(i)條只適用於於本開戶申請表第1頁於已選擇電子服務之適當方格中加上「✓」號之申請人。）

- (ii) The Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "Advice" for the purpose of this Clause (9) only) to be issued by the relevant SHK Company by means of email to the email address(es) provided in Section A herein above if this Account Application is approved by the relevant SHK Company. The Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond SHK Group's control or anticipation. The Applicant agrees that SHK Group shall not be responsible for any loss, damage, costs, expenses, claims or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond SHK Group's control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(14). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall supersede this Clause (9)(ii)).

若本開戶申請表獲相關新鴻基公司所核准，申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取由相關新鴻基公司以電郵方式發出之所有相關之成交單據、帳戶日結單及月結單、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非新鴻基集團所能控制或預期的。申請人同意，對直接或間接因或相關於該不可靠性、互聯網或其他電子媒介之公眾性質或任何其他非新鴻基集團可控制或預期之原因而產生之任何損失、損害、開支、費用、索賠或責任（不論屬任何性質），新鴻基集團一概並不承責。（本第(9)(ii)條只適用於於在A(14)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件將替代本第(9)(ii)條。）

- (10) The Applicant confirms the receipt of, and understands and agrees to the terms of SHK Group's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement and/or the OTC Swap T&Cs (Individuals) (as the case may be).

申請人確認收到及明白並同意新鴻基集團有關個人資料使用之政策及慣例之條款，其等於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨／載於客戶協議及／或場外掛牌條款及細則（個人）（視情況而定）。

- (11) By not objecting to the use of his/her personal data for direct marketing purposes by SHK Company in Section F, the Applicant expressly consents that the SHK Company may at any time and from time to time send to him/her by telephone, email or other electronic means any messages relating to services or products which, in the opinion of the SHK Company, the Applicant may be interested. The Applicant may at any time request not to receive such messages from the SHK Company by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to the SHK Company at the address stated at the front page of this Account Application or such other address as the SHK Company may subsequently notify from time to time.

若申請人於F項並不反對新鴻基公司使用其個人資料以作直接推廣用途，申請人則明確同意新鴻基公司可隨時及不時透過電話、電子郵件或其他電子途徑傳送予申請人新鴻基公司認為其可能有興趣之服務或產品訊息。申請人可隨時要求不從新鴻基公司處接收該等訊息並可取消接收要求送該等訊息內所指定之取消接收選項，或以書面通知寄至本開戶申請表首頁所述之地址或新鴻基公司日後不時所公佈之其他地址，而要求不從新鴻基公司接收該等訊息。

- (12) The Applicant hereby agrees to indemnify, on demand, the SHK Company (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by the SHK Company in reliance on any information mentioned in Clause (4) of this Section G or in consequence of any failure to provide any such information in a timely manner or at all by the Applicant or, directly or indirectly, arising from or in connection with the SHK Company's act or inaction in relation to this Account Application (except for any wilful misconduct on its part), or any act or omission of the Applicant (whether or not constituting a breach of any provision contained in this Account Application).

申請人現承諾應要求獨備新鴻基公司（按全面獨備基準）因依賴本G項第(4)條所述之任何資料或因申請人沒有及時或沒有向新鴻基公司提供任何該等資料或直接或間接因或關於新鴻基公司就本開戶申請表之任何行動或不行動（其故意不當行為除外）或申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何條文）而令新鴻基公司蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

- (13) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of the SHK Company (whether with or without further conditions) and the SHK Company shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由新鴻基公司決定（不論有否其他條件）。同時，新鴻基公司有權在無須提供理由之情況下拒絕該申請。

- (14) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

"Application for Electronic Services" means an application for internet, mobile devices, IVRS services or other form of electronic services, the contents and form(s) of which may be specified by SHK Group from time to time.

「電子服務申請書」指就互聯網、流動設備、音頻電話或其他形式的電子服務之申請書，其內容及格式由新鴻基集團不時指定。

"relevant SHK Company" means the company(ies) of SHK Group which agree(s) to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company(ies) in writing.

「相關新鴻基公司」指新鴻基集團的一間或多間公司，而其/其等同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）該通知所指的服務。

"subsidiary" bears the same meaning given to it under the Companies Ordinance (Cap.32 of the Laws of Hong Kong) (as amended from time to time).

「附屬公司」與《公司條例》（香港法例第32章）（及其不時修訂本）下所指明的附屬公司具相同定義。

For the purposes of this Account Application, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本開戶申請表而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

- (15) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目／項乃指本開戶申請表之項目／項。



**Options Users TO BE COMPLETED BY (i) HEAD OF E-BUSINESS (OR DELEGATE) (for SHKOS); or (ii) INVESTMENT CONSULTANT (for other SHK Group entities)**  
 由(i)電子商務部主管(或其代表)(適用於新鴻基科網);或(ii)客戶經理(適用於其他新鴻基集團的公司)填寫

Optional Information 自由提供資料  
 Applicant's Background 申請人背景: Referral from Mr Hong IAT (3220) who is Mr Lai's son.

*Current* Ms Lai would like to trade blue chips and US stock so as to diversify her investments

Applicant's relationship with Investment Consultant e.g. relatives (please specify), friend, etc.  
 申請人與客戶經理的關係,如親戚(請註明)、朋友等

☐ Walk-in 街客 ☒ Referral 客戶轉介 ☐ Others (Please specify) 其他(請註明)

How long has the Applicant been known to Investment Consultant 客戶經理認識申請人年期: 1 day

Investment Consultant's Signature 客戶經理簽署: Full name 全名: WIAK HOI NING

Details of any licence or registration (including CE No.) 牌照或註冊資料(包括中央編號): AVA 406

Approved account opening for and on behalf of the relevant SHK Company by  
 經由下列人士為及代表相關新鴻基公司核准開戶

Account opening checked/endorsed by Credit  
 開戶經由信貸部核對/認可

Authorised Signatory  
 獲授權簽署人

Name (please print): Jenny Chan  
 姓名(正楷)  
 Date 日期: 11 APR 2014

Name (please print): Jeff King  
 姓名(正楷)  
 Date 日期: 31/4/14

The relevant SHK Company (please specify):  
 相關新鴻基公司(請指明):

☒ SHKIS 新鴻基投資 ☐ SHKCOM 新鴻基期貨 ☐ SHKB 新鴻基金業 ☐ SHKFX 新鴻基外匯 ☐ SHKOS 新鴻基科網



## ML/TF Risk Assessment Form – Individual / Joint Account

(Note: This Risk Assessment Form (the "Form") is used to assess ML/TF risk of a single individual. Please use additional Form(s) for Joint Account.)

<b>Client Particulars</b>	
Client's Name (both in English and Chinese)	LAI SOU CHENG 黎素晶
HKID No.	MACAU
Account Number	325

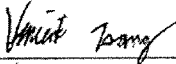
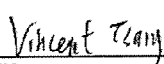

Please complete Parts I to II below and tick the appropriate boxes after you have checked and obtained the related proof(s).

<b>(Part I) Country Risk Test</b>	
1) Does the client reside in (a) a High Risk Jurisdiction; or (b) a country connected with High Risk Jurisdiction(s) (e.g. countries (i) identified by the FATF with strategic AML/CFT deficiencies; (ii) subject to sanctions, embargos or similar measures issued by the UN) or (iii) which are vulnerable to corruption etc.)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

<b>(Part II) Customer Risk Test</b>	
1) Is the client a Politically Exposed Person ("PEP")?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
2) Is/Are the client's spouse, partner, child(ren) or parent(s) a PEP/PEPs?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
3) Is/Are the spouse(s) or partner(s) of the client's child(ren) a PEP/PEPs?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
4) Is/Are the client's close associate(s) a PEP/PEPs?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
5) Is the client involved in cash-intensive business(es) (e.g. Working or owning a money-exchange business or casino)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
6) Do/Does the client's source(s) of funds (initial or ongoing) come from High Risk Jurisdiction(s)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

<b>For Internal Use Only</b>			
To be completed by Investment Consultant ("IC"):			
I, the undersigned IC, confirm that (1) I have completed Parts I and II herein above based on the information and documents provided by or for this client; and (2) I have carried out the necessary due diligence checks on this client in accordance with the requirements applicable to me (including all legal, regulatory and internal requirements). I am satisfied and conclude that the information provided in Parts I and II herein above is true, accurate and complete and is not misleading.			
Additional notes re ML/TF risk of this client (if any):			
IC's Signature	IC's Name (CE No. / Staff No.)	Team/ Dept	Date
<i>CHU WAI</i>	MAK HOI NING AYA 406 A9564	MACAU	1/4/2014
Endorsed by Sales Department Head (or delegate):			
Sales Department Head's Signature (or delegate)	Sales Department Head's Name (or delegate)	Team/ Dept	Date
<i>[Signature]</i>	JOEY KONG	PO	8/4/14



<b>Client Particulars</b>		
Client's Name (both in English and Chinese)	: LAI SOU CHENG	黎素貞
HKID No.	MACAU	
Account Number	3255	
<b>For Credit Department Use Only</b>		
Comments/ Remarks by Credit Department (if any):		
<b>ML/TF Risk:</b>		
Client should be classified as:		
<input type="checkbox"/> High Risk Client → adoption of EDD procedures		
<input checked="" type="checkbox"/> Others → adoption of CDD procedures		
Checked by Credit Department:		
		11 APR 2014
Signature	Name	Date
Endorsed by Head of Credit/ VP Credit:		
	Ivan Yeung	
Signature of Head of Credit / VP Credit	Name of Head of Credit / VP Credit	Date 11 APR 2014

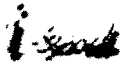
\*\* A PEP is defined as:


- (a) an individual who is or has been entrusted with a prominent public function and
  - (i) includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official;
  - (ii) but does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i);
- (b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a) above, or a spouse or a partner of a child of such an individual; or
- (c) a close associate\*\* of an individual falling within paragraph (a).

\*\* a person is a "close associate" of an individual if the person is:

- (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or
- (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.

**Note:** this Form (duly completed and signed) together with all supporting documents should be retained by Credit Department.



Sun Hung Kai Financial Ltd - SUNCARMAN  
Unit Expiry Date: 2015/3/10  
Package: SPECIAL-SUN  
 PDF  
Reader

## Onscreen Search Court Writ Search

☒ Company Name / Person Name LAI SOU CHENG ☒ Defendant ☐ Plaintiff  
☐ File Number [hints](#)  
☐ Exact Match ☐ Chinese Name



### Tips

- Please enter at least 3 characters for both Chinese and English Search (Except exact match)
- Either English or Chinese Characters
- Left Partial name
- Different Spacing
- Only the past 7 years' records are available

Reference number : 1726479

No record was found in the past 7 years.



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## Public Register of Licensed Persons and Registered Institutions

[Print](#)

[Home](#) [Public Register](#) [Search by name](#) [Search by activity](#) [List of sponsors](#)

### License status

[Active](#) [Active and inactive](#)

### Choose one of the following search option

#### Name search

By: [English name](#) [Chinese name](#)  
on: [Corporation](#) [Individual](#)

LAI SOU CHENG

[Central Entity Number \(CE No.\) Search](#)

[Search](#)

Sorry, there is no name matched with "LAI SOU CHENG" in the Register.

In case of doubt, please contact the SFC at [enquiry@sfc.hk](mailto:enquiry@sfc.hk).  
Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Apr 2014

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## Public Register of Licensed Persons and Registered Institutions

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### License status

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### Choose one of the following search option

Name search

By: [English name](#) [Chinese name](#)  
on: [Corporation](#) [Individual](#)

LAI SOUCHENG

[Central Entity Number \(CE No.\) Search](#)

[Search](#)

Sorry, there is no name matched with "LAI SOUCHENG" in the Register.

In case of doubt, please contact the SFC at [enquiry@sfc.hk](mailto:enquiry@sfc.hk).  
Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Apr 2014

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## Public Register of Licensed Persons and Registered Institutions

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### License status

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### Choose one of the following search option

#### Name search

By: [English name](#) [Chinese name](#)  
on: [Corporation](#) [Individual](#)  
[CE No.](#)

[Central Entity Number \(CE No.\) Search](#)

[Search](#)

Sorry, there is no name matched with "黎少成" in the Register.

In case of doubt, please contact the SFC at [enquiry@sfc.hk](mailto:enquiry@sfc.hk).  
Please follow these instructions in order to view Chinese characters properly in this Register.

Last update: 10 Apr 2014

Note: This document is the Chinese translation. If its content has any difference with the English version, please follow the English version.

If you would like to get the English copy, please ask the investment advisor handling your account-opening application or sales department or go to the following website to get it (please read Article 10 of Attachment VI to this agreement).



**SUN HUNG KAI INVESTMENT SERVICES LIMITED**  
**新鴻基投資服務有限公司**

**CLIENT AGREEMENT AND SCHEDULES**  
**客戶協議及附件**

**July 2013 Edition**  
**二零一三年七月版**

**SUN HUNG KAI INVESTMENT SERVICES LIMITED**  
**新鴻基投資服務有限公司**

Licensed under the Securities and Futures Ordinance (Cap.571, Laws of Hong Kong) to carry on Type 1  
(dealing in securities) and Type 4 (advising on securities) regulated activities (CE Number: AAC153)  
根據《證券及期貨條例》(香港法例第571章)獲發牌進行第1類(證券交易)和  
第4類(就證券提供意見)之受規管活動(中央編號: AAC153)  
Exchange Participant and Options Trading Exchange Participant of The Stock Exchange of Hong Kong Limited  
香港聯合交易所有限公司交易所參與者及期權買賣交易所參與者  
B Share Seat Holder of the Shanghai Stock Exchange  
上海證券交易所B股席位持有人  
B Share Special Seat Holder of the Shenzhen Stock Exchange  
深圳證券交易所B股特別席位持有人  
Address: 28/F, The Lee Gardens, 33 Hyson Avenue, Causeway Bay, Hong Kong  
Tel: (852) 3920 2888 Fax: (852) 3920 2789

**Customer Service Hotline: (852) 2822 5001**

this document

I hereby acknowledge that I have received and signed

Customer Service Hotline: (852) 2822 5001  
Anti-Fraud Helpline: (852) 3920 2980 (Please see Clause 21.5.2 inside)  
Website: www.shkf.com

地址: 香港銅鑼灣希慎道33號利園28樓  
電話: (852) 3920 2888 傳真: (852) 3920 2789  
客戶服務熱線: (852) 2822 5001  
懷疑詐騙熱線: (852) 3920 2980 (請參閱內文第21.5.2條款)

Lai Sou Cheng

Date:

1/4/2014



**THIS IS AN IMPORTANT DOCUMENT. PLEASE READ IT CAREFULLY.**

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**此乃重要文件，請細閱。**

客戶必須留意，證券價格可並定會波動。證券價格可能急劇下跌或上升，在某些情況下證券更可能被暫時停止買賣或變成毫無價值。除可能獲利外，亦可能有損失，此乃證券交易或投資本身之風險。閣下若對本文件、證券買賣或其他方面有任何疑問，應諮詢閣下之律師、會計師或其他獨立專業顧問。

在證券買賣中使用孖展額及孖展交易存在相關風險。在決定接受孖展融資安排之前，閣下應當仔細閱讀本文件，使用互聯網或其他電子交易服務時，除了通常的證券交易風險之外，亦存在其他相關之額外風險。

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSFC-E-0000569



## MEMORANDUM

To : Credit Dept / Branch Operations  
 From : Macau Branch  
 Date : 1/4/2014  
 Subject : Identification of ML&T in Account Opening & CDD  
 Reference : MC 131 / 2014  
 Number of pages : 1

SHK A/C No.	Name of Account Holder(s)	Name of Ultimate Beneficiary (if not A/C holder)
325	1) LAI SOU CHENG 2)	1) 2)
TFB Sub A/C No.	Name of Authorized Person(s)	Name of Authorized Third Party
	1) 2)	1) Nil 2)

As a SFC licensed person, I declare that I have checked the name of above account holders and related person(s) against the ML&T List maintained by Credit Dept, which can be accessed via SHK Intranet website. \* (please circle)

My checking result : NAME MATCH Yes / No (remark : )

To my best knowledge and diligence, I further declare that the above account holder(s) and / or related person(s) are :

1) Politically exposed person (PEP) or related person	Yes / <u>No</u> (remark : )
2) Person registered with the Securities and Futures Commission of Hong Kong / licensed corporation employee or related person	Yes / <u>No</u> (remark : )
3) Board member of any locally listed company or related person	Yes / <u>No</u> (remark : )
4) Gaming company / gaming agent / entertainment hotel employee or related person	Yes / <u>No</u> (remark : )

I have also collected the true copy of below documents for the company's record : (please tick, if any)

<u>Identity document</u>	<input type="checkbox"/> MSAR Travel Permit	<u>Reference document</u>
<input checked="" type="checkbox"/> Macau ID Card	<input type="checkbox"/> Document of Identity	<input type="checkbox"/> proof of active bank account
<input type="checkbox"/> HKID Card	<input type="checkbox"/> PRC Travel Pass	<input type="checkbox"/> proof of residential address
<input type="checkbox"/> PRC ID Card	<input type="checkbox"/> MSAR Entry Pass of Port(s)	<input type="checkbox"/> proof of investment experience
<input type="checkbox"/> Passport		<input type="checkbox"/> employer's consent letter

Declared by

Doc. Checked by

Noted by

Noted by

AE - MAK HUI NING

CHERRY  
Settlement staff

Branch Manager

Victor Tong  
Credit Dept

Macau Manager's or Credit Dept comment: (if any) Type ( ) - Require En.CDD ( )

香港新鴻基金融集團 33 號利基 26 樓  
 電話 : (852) 3920 2886 傳真 : (852) 3920 2789 網址 : www.shkf.com  
 26/F, The Lee Gardens, 33 Hysan Avenue, Causeway Bay, Hong Kong  
 General Line : (852) 3920 2886 Fax : (852) 3920 2789 Website : www.shkf.com

**Important information customer needs to know when opening an account – Macau branch**

According to related requirements of the Monetary Authority of Macao, a financial service agent must conduct business on the basis of understanding his/her customers. For this reason, we would like to ask you to provide valid identity document/company's business registration document and address evidence to us when opening an account with us and also during the time period when your account exists, and we also would like to ask you to fill out your occupation/field, purpose of opening your account, source of funds, and other such information.

1. Customer must provide the following valid documents:

Resident Type	Identity Document
Local resident	Macau resident identity card [*Those who are not permanent residents should provide their original passports or Macau Special Administrative Region travel permits]
Hong Kong resident	Hong Kong resident identity card
Mainland China resident	Mainland China resident identity card and Chinese passport or travel permit
Foreign resident	Passport, entry permit, and proof of local employment (Blue Card)

2. Customers must fill out their occupation and address and also provide the following documents as proof of their address:

Local Resident	Must present an original document printed with customer's name and address and issued by a local government institution, public service organization, or financial institution in the last three months (we will not accept any incomplete document or faxed copy). (For example, monthly statements sent by a local bank, utility bills, and land line/Internet bills)
Non-Local Resident	Must present an original document printed with customer's name and address and issued by a local government institution, public service organization, or financial institution in the last three months; or must present an original document printed with customer's name and address and issued by the government institution, public service organization, or financial institution of the country customer comes from

3. When opening an account, the customer must provide the number of his/her beneficiary's account at a bank in Macau; transfer made to an account with Tai Fung Bank is free, and if a cashier's check is used to receive money, then HKD50 will be deducted as handling fee.

Please note that:

Our account executive is responsible for providing the Client Agreement and included or attached Risk Disclosure Statement based on the language (English or Chinese) chosen by customer during the process of opening an account, and he/she should also ask the customer to

carefully read the Client Agreement and the Risk Disclosure Statement, present any question, or seek other independent opinions.

We encourage you to keep the Client Agreement, other documents you have signed when opening an account, and other copies for future reference. If the customer refuses to sign any blank form or document for opening an account, please ask Macau branch's customer service director or branch director for advice if necessary.

Our branch doesn't have cashier counters, so you must directly deposit cash or crossed checks for transactions to the customer's special subsidiary account that Sun Hung Kai Financial has at Tai Fung Bank. Once payment is received, transactions can be conducted. The account executive will provide the customer's special subsidiary account number to you after you have successfully opened an account, or you can directly ask for it from our director at any time. The format of the subsidiary account name is always as follows: "Sun Hung Kai subsidiary account – customer's full name on identity document".

After Sun Hung Kai Financial headquarters confirms it has received the payment (usually the next business day after the day when the customer deposits money), it will directly send a notice of receiving the deposit (Confirmation Note) to you from Hong Kong via surface mail. Your deposit record will also be updated on the same business day when the deposit is confirmed.

If you have any questions regarding the procedures of opening an account, account operation, or transaction arrangements, please dial (853)-2878-1212 to ask the customer service director at our branch, or you can also directly send an email to [macau.branch@shkf.com](mailto:macau.branch@shkf.com) to contact the Macau branch director. If you have any complaint, then you can dial (852)-2822-5001, or you can also send an email to [cs@shkf.com](mailto:cs@shkf.com) to contact Sun Hung Kai Financial headquarters.

Security prices may experience decline, and securities may under some circumstances be suspended from trading or becoming valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of trading or investment in securities. Before making any investment, sale or purchase decision, the customer should evaluate his/her own will and capability of undertaking risks and also learn about the nature and risks of related products.

The customer must note that he/she should not deposit transaction money to an account held by someone else.

Finally, if you are in any doubt about this document or about the sale and purchase of securities or otherwise, you should consult your solicitor, accountant, or other independent professional advisors.



The customer has received and signed the Client Agreement and copies of documents for  
opening an account

Lai Sou Cheng

Date: 1/4/2014

Latest update: September 5, 2012

Actimize ODS

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AML VULF On-Demand Search

Currently we

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[\[Alert Summary\]](#)
[\[Customer Screening\]](#)
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[\[Deposit Screening\]](#)
[\[Change Password\]](#)
[\[Logout\]](#)

## Customer Screening

**Area of Business:** Bullion  
 Futures & Options  
 SHKF Corporate Finance  
 SHKF Fund Management  
 SHKF Insurance  
 Wealth Management  
**Customer Account No.:** 0045  
**Customer Name:** LAI SOU CHENG  
**Other Names:**  
**Screened by ID:**  
**Customer Type:** INDIV - Individual  
**Address:** ESTRADA DE GETE TANQUES 40  
 EDV VISTA LINDA  
 TA ANDAR C  
 TAIPA MACAU  
**Country:** MO - MACAO  
**ID / Passport / RH Number:**  
**Date of Birth:** 1968-  
 (Date Format: yyyy-MM-dd)  
**Sex:** F  
**Occupation:**  
**Company:**  
**AE Code:** 00-2117-2

No hits against watch-lists being checked  
 Reference ID: CUS\_RQ\_29140408145542156

## Related Parties

**Name:**  
 (separated by ID)  
**ID / Passport Number:**  
 (separated by ID)

## Beneficiary

**Designated Bank Account Name:**  
 (separated by ID)

**Remarks:**

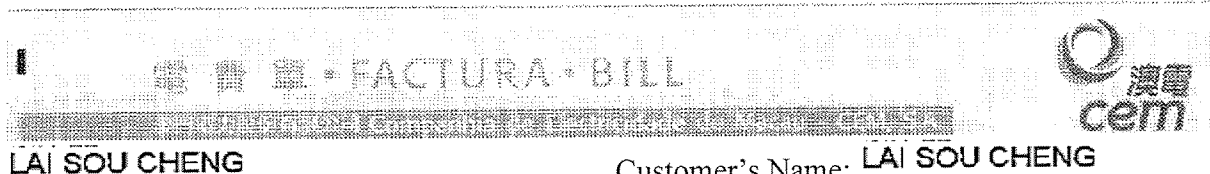
08 / 04 / 2014

<http://192.168.2.93:8080/actimizeODS/screening/customerScreening.htm>

2014/4/8

Confidential pursuant to Securities Exchange Act s.24(d).

SEC-HKSFC-E-0000572



Customer's Name: LAI SOU CHENG

Apt. 12C, edf. Vista Linda  
40 Estrada De Sete Tanques  
Taipa, Macau

Installation Address: Apt. 12C, edf. Vista Linda  
40 Estrada De Sete Tanques  
Taipa, Macau


Contract Number: 5000313860

Bill Type: A1

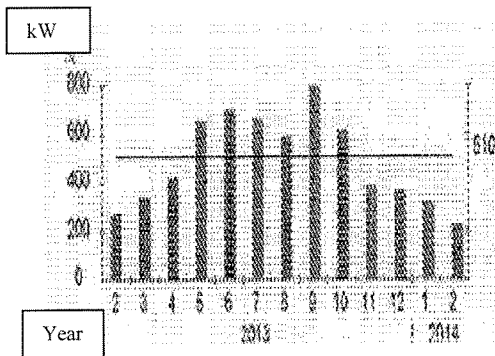
Amount: MOP\$219.00

Bill Number: 16614084921

Billing Cycle: From January 25, 2014 to February 28, 2014 Billing Date: February 26, 2014

	Unit	Unit Price	Amount (MOP\$)
Power Cost	11.5	3.372	38.78
Electricity Fee	231	0.963	222.45
Fee Adjustment Coefficient	231	0.360	83.16
Government Tax			2.50
Fee During This Cycle			346.89
Government Electricity Fee			-200
Subsidy This Month			
Last Month's Fee			260.00
Amount Paid (February 10, 2014) – Thank you			-260.00
Last Month's Balance			4.71
Balance Allocated to Next Month			-1.60
Please pay this amount before: March 13, 2014			150.00
<p>This month's electricity fee will be deducted from your Bank of China account through automatic transfer on <b>March 13, 2014</b>.</p> <p>If you pay the fee after the due date, then you will have to pay an extra fee for passing the due date.</p> <p>If you still have not paid your electricity bill before <b>March 21, 2014</b>, then power supply will be suspended.</p>			 (amount payable)

## Power usage record



The average monthly power usage in the past 12 months was 510 k/W.

Information

Chart information				
A total of 33 days for power usage				
From January 25, 2014 to February 26, 2014				
Next month's reading date: <b>March 26, 2014</b>				
Electricity Meter Number	This Month's Reading	Last Month's Reading	Multiplier	Power Usage (k/W)
164621	48788	49557	1.0	231

The accumulated unused government electricity fee subsidy is 320.22.

Please return this portion when paying your electricity bill

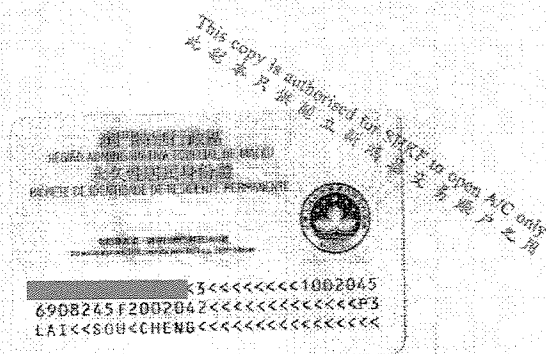
新鴻基投資服務有限公司 - 澳門分行 San Hung Kai Investment Services Limited - Macao Branch	
I hereby certify that this is a true copy of the original document which I have seen and that I have not the individual and can confirm that photograph is a true likeness.	
Name of Certifier	Miss Hoi Nung
Job Title	IC
Date	1/4/2014
Signature	[Signature]



5000313860 Contract Number	150.00 Amount Payable	March 13, 2014 Due Date	March 21, 2014 Due Date to Avoid Suspension of Power Supply	BOC01 Bank for Automatic Transfer
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新鴻基投資服務有限公司-澳門分行 Sun Hung Kai Investment Services Limited - Macao Branch	
I hereby certify that this is a true copy of the original document which I have seen and also I assure that the individual and can confirm that photograph is a true picture.	
Name of Certifier	AAK HOI NING
Job Title	IC
Date	1/4/2014
Signature	AKA



Macau Special Administrative Region

Permanent Resident Identity Card

If this card is found, please mail it back to PO Box 1089, Macau

[logo:] [Seal of the Government of Macau]

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SEC-HKSFC-E-0000574



## CERTIFICATION

Schreiber Translations, Inc.

51 Monroe Street

Suite 101

Rockville, MD 20850

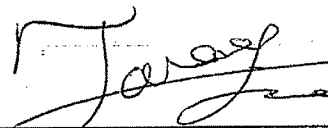
P: 301.424.7737

F: 301.424.2336

This is to certify that the attached English language documents are true and accurate translations of the original Chinese language documents to the best of our knowledge and belief. The documents are identified as below:

"03\_17\_2015 12\_10\_06 EDT (75)", "03\_17\_2015 16\_38\_58 EDT (75)", "03\_18\_2015 11\_48\_14 EDT (125)", "08\_18\_2014 21\_45\_21 EDT\_4 (75)", "08\_18\_2014 21\_45\_21 EDT\_5 (25)", "SEC-HKSFC-E-0000179 (175)", "SEC-HKSFC-E-0000265 (400)", "SEC-HKSFC-E-0000458 (400)", "SEC-HKSFC-E-0000550 (375)"

Executed this 29<sup>th</sup> day  
of June, 2016

  
\_\_\_\_\_  
Schreiber Translations, Inc.  
51 Monroe Street, Suite 101  
Rockville, Maryland 20850  
ATA Member 212207

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